

2177

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Patent Application of

Eric D. Schneider

Application No.: 09/856,331

Filed: May 17, 2001

For: Optimized Disk Storage  
Defragmentation with Swapping  
Capabilities

Confirmation No.: 7833

Group Art Unit: 2177

Examiner: S. Pannala

Attorney Docket No.: 44420423-7926

**SUPPLEMENTAL INFORMATION  
DISCLOSURE STATEMENT**

SONNENSCHN NATH & ROSENTHAL LLP  
Customer No. 45969

M/S AMENDMENT  
Commissioner for Patents  
P.O. Box 1450  
Arlington, VA 22313-1450

**CERTIFICATE OF MAILING**

I hereby certify that this correspondence is being deposited with the United States Postal Service as First Class Mail in an envelope, addressed to: M/S Amendment, Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on May 25, 2005.

SONNENSCHN NATH & ROSENTHAL LLP

Dated: 5/25 /05

By: Jeffrey Brill  
Jeffrey Brill

Sir:

Applicant(s) submit(s) herewith patents, publications or other information [attached hereto and listed on the attached Form PTO-1449 (modified)] of which they are aware, which they believe(s) may be material to the examination of this application and in respect of which there may be a duty to disclose in accordance with 37 CFR § 1.56.

This Information Disclosure Statement:

- (a) ☐ accompanies the new patent application submitted herewith. 37 CFR § 1.97(a).
- (b) ☐ is filed within three months after the filing date of the application or within three months after the date of entry of the national stage of a PCT application as set forth in 37 CFR § 1.491.
- (c) ☒ as far as is known to the undersigned, is filed before the mailing date of a first Office Action on the merits, or before a first office action after filing a Request for Continued Examination under §1.114.

- (d) ☐ is filed after the first office action and more than three months after the application's filing date or PCT national stage date of entry filing but, as far as is known to the undersigned, prior to the mailing date of either a final rejection or a notice of allowance, whichever occurs first, and is accompanied by either the fee (\$180) set forth in 37 CFR § 1.17(p) or a certification as specified in 37 CFR § 1.97(e), as checked below.
- (e) ☐ is filed after the mailing date of either a final rejection or a notice of allowance, whichever occurred first, and the Issue Fee has not been paid, and is accompanied by the fee (\$130) set forth in 37 CFR § 1.17(i)(1) and a certification as specified in 37 CFR § 1.97(e), as checked below. This document is to be considered as a petition requesting consideration of the information disclosure statement.

A list of the patent(s) or publication(s) is set forth on the attached Form PTO-1449 (Modified). A copy of the items on PTO-1449 (Modified) is supplied herewith, except for issued United States Patents and Published United States Patent Applications.

A concise explanation of relevance of the items listed on form PTO-1449 (Modified) is:

- (h) ☒ not given
- (i) ☐ given for each listed item
- (j) ☐ given for only non-English language listed item(s) [Required]
- (k) ☐ is in the form of an English language copy of a Search Report from a foreign patent office, issued in a counterpart application, which refers to the relevant portions of the references [copy attached].

The Examiner is reminded that a "concise explanation of the relevance" of the submitted items "may be nothing more than identification of the particular figure or paragraph of the patent or publication which has some relation to the claimed invention," MPEP § 609.

While the information and references disclosed in this Information Disclosure Statement may be "material" pursuant to 37 CFR § 1.56, it is not intended to constitute an admission that any patent, publication or other information referred to therein is "prior art" for this invention unless specifically designated as such.

In accordance with 37 CFR § 1.97(g), the filing of this Information Disclosure Statement shall not be construed to mean that a search has been made or that no other material information as defined in 37 CFR § 1.56(a) exists. It is submitted that the Information Disclosure Statement

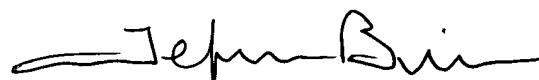
complies with 37 CFR § 1.98 and MPEP § 609 and the Examiner is respectfully requested to consider the listed references.

The Commissioner is hereby authorized to charge our Deposit Account No. 19-3140, for any fees required in connection with the filing of this Information Disclosure Statement. **A duplicate copy of this Notice is enclosed for this purpose.** In particular, in the event that an Office Action has crossed in the mail with this Information Disclosure Statement, the Commissioner is authorized to charge the above-named deposit account for any fees required pursuant to CFR §§ 1.17(p) or 1.17(i)(1).

Respectfully submitted,

SONNENSCHN NATH & ROSENTHAL LLP

Dated: 5/25/05

By:   
Jeffrey Brill  
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Attorneys for Applicant(s)



PTO/SB/08a (08-03)

Approved for use through 07/31/2006. OMB 0651-0031

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<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b>  (use as many sheets as necessary)				<b>Complete if Known</b>		
				Application Number	09/856,331	
				Filing Date	May 17, 2001	
				First Named Inventor	Eric Schneider	
				Group Art Unit	2177	
Sheet	1	of	1	Examiner Name	S. Pannala	
				Attorney Docket Number	44420423-7926	
<b>FOREIGN PATENT DOCUMENTS</b>						
Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Number Country Code Number Kind Code (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		JP 01-036972 A	8/27/1990	Fujitsu Ltd. (abstract in English)		
		JP 04-038739 A	8/13/1993	Shikoku Nippon Denki Software KK (abstract in English)		
		JP 07-059861 A	9/13/1996	NEC Corp (abstract in English)		
		JP 62-114595 A	11/17/1988	Hitachi Ltd. (abstract in English)		
		JP 02-290700	06/11/1992	Matsushita Electric Ind. Co. Ltd. (abstract in English)		
<b>OTHER ITEMS - NON PATENT LITERATURE DOCUMENTS</b>						
Examiner Initials*	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.				T <sup>2</sup>
		CASTELLETTO et al., "DB2 for VSE & VM Archiving and Recovery", IBM VSE/ESA, 1-18, (1996).				
		SELTZER et al., "An Implementation of a Log-Structured File System for UNIX," Proceedings of the Winter 1993 USENIX Technical Conference, USA USENIX January, 1993, pp. 307-326.				
		SUZUKI et al., "A Design of a File Manager with History Management Mechanism," Technical Report of Information Processing Society of Japan, Japan, IPSJ, October 29, 1993, Vol. 93, No. 96 (93-DBS-96) pp. 75-83. (abstract in English)				
		GRAY et al., "Transaction Processing: Concepts and Techniques," U.S.A. Morgan Kaufmann Publishers, Inc. 1993, pp. 723-732.				
Examiner Signature			Date Considered			

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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